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On March 28, 2006

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10/536570

Signed: Deborah Cameron  
Deborah Cameron

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: <b>Bulthuis et al.</b>	Attorney Docket No.: <b>GEML 4671-3</b>
Application No.: <b>10/536,570</b>	Examiner: <b>Not Assigned</b>
Filed: <b>26 May 2005</b>	Group: <b>Not Assigned</b>
Title: <b>OPTICAL BRANCHING COMPONENT WITH LOW POLARISATION SENSITIVITY AND INCREASED PROCESS TOLERANCE</b>	Confirmation No.: <b>Not Assigned</b>
	Customer No. <b>54413</b>

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56.

Enclosed with this statement is a Form PTO/SB/08A. The Examiner is requested to initial the form and return it to the undersigned in accordance with M.P.E.P. 609.

Also enclosed is a copy of a PCT Search Report mailed May 4, 2004 for a corresponding PCT Application.

Also enclosed with this statement is a copy of each cited document as required by 37 C.F.R. 1.98. If, however, this application was filed after June 30, 2003, copies of U. S. Patents and U. S. Patent Application Publications are not enclosed. (See O. G. Notice of August 5, 2003.)

This statement should be considered under 37 C.F.R. 1.97(b) because it is being filed before the mailing date of the first Office Action on the merits.

**Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-0869 (GEML 4671-3). A duplicate copy of this authorization is enclosed.

Respectfully submitted,  
Haynes Beffel & Wolfeld LLP

Date: 3/28/2008

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PTO/SB/08A (08-00)  
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Substitute for form 1449A/1-0  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/536,570	
Sheet	1	of	2	Filing Date	26 May 2005
				First Named Inventor	Bulthuis et al.
				Group Art Unit	Not Assigned
				Examiner Name	Not Assigned
				Attorney Docket Number	GEML 4671-3

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	A1	2001/0051018	A1	Arai et al.	12-13-2001	
	A2	5,044,715		Kawachi et al.	09-19-1991	
	A3					
	A4					
	A5					
	A6					
	A7					
	A8					
	A9					
	A10					
	A11					
	A12					
	A13					
	A14					
	A15					
	A16					
	A17					
	A18					
	A19					
	A20					

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	B1		EP 0 382 461		Kawachi et al.	08-16-1990		
	B2		EP 0 610 973		Yamauchi et al.	08-17-1994		
	B3		JP 07281041		Shirata Tomoyuki et al.	10-27-1995		
	B4		WO 2004/017112	A1	Van der Vliet et al.	02-26-2004		
	B5							
	B6							
	B7							
	B8							
	B9							
	B10							

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		Application Number	GEML 4671-3
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	10/536,570
		First Named Inventor	Bulthuis et al.
		Group Art Unit	Not Assigned
		Examiner Name	Not Assigned
		Attorney Docket Number	26 May 2005
Sheet	2	of	2

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C1	HASHIZUME Y ET AL. "Integrated polarisation beam splitter using waveguide birefringence dependence on waveguide core width" ELECTRONICS LETTERS, IEE STEVENAGE, GB, vol. 37, no. 25, 6 December 2001, pgs. 1517-1518, XP006017649 ISSN: 0013-5194 * sections "Design", "Experimental results"; figure 1	
	C2	LAI Q ET AL. "Tunable wavelength-selection switch and multiplexer/demultiplexer based on asymmetric silica-on-silicon Mach-Zehnder interferometer" ELECTRONICS LETTERS, IEE STEVENAGE, GB, vol. 34, no. 3, 5 Feb. 1998 (1998-02-05) pgs. 266-267, XP006009267 ISSN: 0013-5194	
	C3	BESSE P A ET AL. "Optical Bandwidth & Fabrication Tolerances of Multimode Interference Couplers" JOURNAL OF LIGHTWAVE TECHNOLOGY, IEEE. NY, US, vol. 12, no. 6, 1 June 1994 (1994-06-01) pgs. 1004-1009, XP000484218 ISSN: 0733-8724, sections II, III; fig. 1,3	
	C4	HONG J-K, KIM J-H, LEE S-S: "Low-power thermo-optic silica-on-silicon MZI switch using multimode interference couplers" SILICON-BASED & HYBRID OPTOELECTRONICS IV, SPIE PROCEEDINGS, vol. 4654, 28 March 2002 pgs 157-163, XP002277219	
	C5	SOLDANO L B ET AL: "Optical Multi-Mode Interference Devices Based on Self-Imaging: Principles & Applications" Journal of Lightwave Technology, IEEE. NY, US, vol. 13, no. 4, 1 April 1995, pgs. 615-627, XP000513578 ISSN: 0733-8724, sections IV-VI; fig. 4	
	C6	LEE CC ET AL: "2 X 2 Single-Mode Zero-Gap Directional-Coupler Thermo-Optic Waveguide Switch on Glass" Applied Optics, Optical Society of America, Washington, US, vol. 33, no. 30, 20 Oct. 1994, pgs. 7016-7022, XP000476203 ISSN: 0003-6935 section 2; fig. 4	
	C7	SOLDANO L B ET AL: "Large Optical Bandwidth of INGAASP/INP Multi-Mode Interference 3-DBcouplers" Proceedings European Conference on Integrated Optics with Technical Exhibition, 1993, pgs 1-4, XP000522450	

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